

11/20/01
JC604 U.S. PTO

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. S-18805I

First Inventor Michael Koziel

Title Synthetic DNA Sequence Having
Enhanced Insecticidal Activity in Maize

EXPRESS MAIL LABEL BOX

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. Applicant claims small entity status.
See 37 CFR 1.27.

3. Specification [Total Pages 238]
(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. Drawing(s) (35 U.S.C. 113) [Total Sheets 90]

5. Oath or Declaration [Total Pages]

- a. Newly executed (original or copy)
- b. Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)

i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper (116 pages)
- c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))

10. 37 CFR 3.73(b) Statement Power of (when there is an assignee) Attorney

11. English Translation Document (if applicable)

12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations

13. Preliminary Amendment

14. Return Receipt Postcard (MPEP 503) (Should be specifically itemized)

15. Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.

17. Other: PTO-2038

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part (CIP)

of prior application No. 09, 547,422

Prior application information:

Examiner McElwain

Group Art Unit 1638

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

 022847 Customer Number or Bar Code Label

or

 Correspondence address below

Name

Address

City

Country

State

Telephone

Zip Code

Fax

Name (Print/Type)

J. Timothy Meigs

Registration No. (Attorney/Agent)

38,241

Signature

Date 4/20/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

11/20/01
J1050 US PTO 09/988462

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 794)

Complete if Known

Application Number	
Filing Date	November 20, 2001
First Named Inventor	Michael Koziel
Examiner Name	
Group Art Unit	5 - 200
Attorney Docket No.	S-18805I

METHOD OF PAYMENT (check all that apply)

 Check Credit card Money Order Other None
 Deposit Account:

Deposit Account Number	50-1744
Deposit Account Name	Syngenta

The Commissioner is authorized to: (check all that apply)

 Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) during the pendency of this application
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
101 740	201 370	Utility filing fee	740
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	
SUBTOTAL (1)		(\$ 740)	

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Independent Claims	Multiple Dependent	Fee from below	Fee Paid
			Extra Claims	
23	-20** = 3	x 18 = 54		
2	- 3** = 0	x 84 = 0		

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$ 54)

**or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath			
127 50	227 25	Surcharge - late provisional filing fee or cover sheet			
139 130	139 130	Non-English specification			
147 2,520	147 2,520	For filing a request for ex parte reexamination			
112 920*	112 920*	Requesting publication of SIR prior to Examiner action			
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action			
115 110	215 55	Extension for reply within first month			
116 400	216 200	Extension for reply within second month			
117 920	217 460	Extension for reply within third month			
118 1,440	218 720	Extension for reply within fourth month			
128 1,960	228 980	Extension for reply within fifth month			
119 320	219 160	Notice of Appeal			
120 320	220 160	Filing a brief in support of an appeal			
121 280	221 140	Request for oral hearing			
138 1,510	138 1,510	Petition to institute a public use proceeding			
140 110	240 55	Petition to revive - unavoidable			
141 1,280	241 640	Petition to revive - unintentional			
142 1,280	242 640	Utility issue fee (or reissue)			
143 460	243 230	Design issue fee			
144 620	244 310	Plant issue fee			
122 130	122 130	Petitions to the Commissioner			
123 50	123 50	Processing fee under 37 CFR 1.17(q)			
126 180	126 180	Submission of Information Disclosure Stmt			
581 40	581 40	Recording each patent assignment per property (times number of properties)			
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))			
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))			
179 740	279 370	Request for Continued Examination (RCE)			
169 900	169 900	Request for expedited examination of a design application			
Other fee (specify)					

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	J. Timothy Meigs	Registration No. (Attorney/Agent)	38,241	Telephone 919 541-8587
Signature		Date	11/20/01	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF

KOZIEL ET AL

APPLICATION NO: TBA

FILED: On Even Date

FOR: SYNTHETIC DNA SEQUENCE HAVING ENHANCED
INSECTICIDAL ACTIVITY IN MAIZE

Commissioner for Patents

Washington, DC 20231

Attention: Official Draftsperson

COMMUNICATION FORWARDING FORMAL DRAWINGS

Sir:

Applicant encloses herewith a set of formal drawings for FIGS. 1A-1F, 2A-2C, 3A-3F, 4A-4D, 5A-5C, 6A-6D, 7A-7D, 8, 9A-9D, 10, 11A-11D, 12, 13A-13D, 14, 15A-D, 16-22, 23A-23E, 24A-24C, 25A-25D, 26-27, 28A-28B, 29, 30A-30B, 31-34, 35A-35E, 36, 37A-37C and 38 (ninety sheets total).

Notice of the approval of these drawings is respectfully requested.

Respectfully submitted,



J. Timothy Meigs
Attorney for Applicants
Reg. No. 38,241

Syngenta Biotechnology, Inc.
Patent Department
P.O. Box 12257
Research Triangle Park, NC 27709-2257
(919) 541-8587

Date: November 20, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF
KOZIEL ET AL.

ART UNIT: TBA
EXAMINER: TBA

APPLICATION NO: TBA

FILED: On Even Date

FOR: SYNTHETIC DNA SEQUENCE HAVING ENHANCED
INSECTICIDAL ACTIVITY IN MAIZE

Commissioner for Patents
Washington, D.C. 20231

**SUBMISSION OF SEQUENCE LISTING
INCLUDING STATEMENT OF VERIFICATION**

Sir:

Applicant hereby provides a Computer Readable Form of the Sequence Listing as well as the Paper Copy thereof. The undersigned states that the Paper Copy and the Computer Readable Form, submitted in accordance with 37 CFR §1.821(c) and (e), respectively, are the same.

Respectfully submitted,



J. Timothy Meigs
Attorney for Applicants
Reg. No. 38,241

Syngenta Biotechnology, Inc.
Patent Department
P.O. Box 12257
Research Triangle Park, NC 27709-2257
(919) 541-8587
Date: November 20, 2001